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Emerson P. Jones
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Greenwich CT 06830

In re Application of:
James Birdle, Jr., Jeffrey Edwards, :
Yonathan Epelbaum, Frederick J. :
Fiddle, Emerson P. Jones, Stuart C. :
Kaperst, Todd K. Kaplan, Daniel Y. :
Kerstein, Richard P. Luciano, :
Thomas H. Patrick, Jr., Paul A. :
Pepe, Eric Steifman, Russell L. :
Stein, Brennan J. Warble and :
Richard J. Green :
Application No. 10/064,744 :
Filed: August 12, 2002 :
Title of Invention: CONTINGENT :
CONVERTIBLE FINANCIAL INSTRUMENTS :

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OFFICE OF PETITIONS

LETTER

Dear Mr. Jones:

You are named as a joint inventor in the above-identified United States patent application filed under the provisions of 35 U.S.C. 116 (United States Code) and 37 CFR 1.47(a), Rules of Practice in Patent Cases. Should a patent be granted on the application you will be designated therein as a joint inventor.

As a named inventor you are entitled to inspect any paper in the file wrapper of the application, order copies of all or any part thereof (at a prepaid cost per 37 CFR 1.19) or make your position of record in the application. Alternatively, you may arrange to do any of the preceding through a registered patent attorney or agent presenting written authorization from you. If you care to join the application, counsel of record (see below) would presumably assist you. Joining in the application would entail the filing of an appropriate oath or declaration by you pursuant to 37 CFR 1.63.

Telephone inquiries regarding this communication should be directed to Petitions Attorney Derek L. Woods at (703) 305-0014. Requests for information regarding your application should be directed to the File Information Unit at (703) 308-2733. Information regarding how to pay for and order a copy of the application, or a specific paper in the application, should be directed to Certification Division at (703) 308-9726 or 1-800-972-6382 (outside the Washington D.C. area).

Derek L. Woods
Petitions Attorney
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